

06/01/01

06-04-01

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Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. EL719433078US
First Inventor Lo et al.
Title NON-INVASIVE PRENATAL DIAGNOSIS
Express Mail Label No. EL719433078US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 43]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. Oath or Declaration [Total Pages 3]
 - a. ☐ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
 - b. ☒ (for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☒ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper
 - c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No 09,380,696

Prior application information

Examiner J. Goldberg

Group Art Unit 1655

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

3624

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name VOLPE AND KOENIG, P.C.
Address
City State Zip Code
Country Telephone Fax

Name (Print/Type) C. Frederick Koenig III, Esquire Registration No. (Attorney/Agent) 29,662

Signature Date June 1, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

11033 U.S. PTO
09/872063
06/01/01

PTO/SB/17 (11-00)

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Patent fees are subject to annual revision.

Complete if Known

Application Number	Not Yet Known
Filing Date	Not Yet Known
First Named Inventor	Lo et al.
Examiner Name	Not Yet Known
Group Art Unit	Not Yet Known
Attorney Docket No.	JAK-PT001.1

TOTAL AMOUNT OF PAYMENT	(\$) 583.00
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METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit
Account
Number

Deposit
Account
Name

22-0493

Volpe and Koenig, P.C.

- ☒ Charge Any Deficiency or Credit any Overpayment
in the Total Fees Associated with this Communication
- ☒ Applicant claims small entity status
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☐
- Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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Fee Paid

101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)	(\$) 355.00
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2. EXTRA CLAIM FEES

			Extra Claims		Fee from below	Fee Paid
Total Claims	32	- 20	** 12	x	9.00	= 108.00
Independent Claims	6	- 3	** 3	x	40.00	= 120.00
Multiple Dependent					0	= 0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)	(\$) 228.00
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FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity
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Fee	Fee	Fee	Fee	Fee Description	Fee Paid
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Code (\$)		Code (\$)		
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	390	216	195	Extension for reply within second month
117	890	217	445	Extension for reply within third month
118	1,390	218	695	Extension for reply within fourth month
128	1,890	228	945	Extension for reply within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Processing fee under 37 CFR 1.17(q)
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify)

SUBTOTAL (3)	(\$)	0
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SUBMITTED BY

Name (Print/Type)	C. Frederick Koenig III, Esquire
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Registration No (Attorney/Agent)	29,662
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Complete (if applicable)

Telephone	215-568-6400
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Signature

Date	June 1, 2001
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WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

CERTIFICATE OF MAILING BY EXPRESS MAIL UNDER 37 CFR 1.10

EL598705725US

Express Mail Label Number

Attorney Docket No. H0002331

I hereby certify that the attached Provisional Application For Patent Cover Sheet (Large Entity) 37 C.F.R. 1.53, including a duplicate copy of the Transmittal Letter, Patent Application specification, acknowledgment postcard and a check in the amount of \$150.00 are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under 37 C.F.R. § 1.10 in an envelope addressed to: Box Provisional Application, Commissioner for Patents, Washington, DC 20231 on June 1, 2001.



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09872053-060101

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

Lo et al.

Application No.: Not Yet Known

Our File: JAK-PT001.1

Filed: Not Yet Known

Date: June 1, 2001

For: *NON-INVASIVE PRENATAL DIAGNOSIS*

Group: Not Yet Known

Examiner: Not Yet Known

VERIFICATION UNDER RULE 37 C.F.R. §1.821(e) and (f)

Box PATENT APPLICATION
Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith is a "sequence listing" in computer readable form (CRF) which is compliant with all of the requirements of 37 C.F.R. §1.821(e) through §1.825. The sequence listing information recorded in computer readable form is identical to the sequence listing submitted herewith in paper form. No new matter has been added.

Respectfully submitted,

Lo et al.

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CFK/fap